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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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26853 7590 07/02/2007 COVINGTON & BURLING, LLP ATTN: PATENT DOCKETING 1201 PENNSYLVANIA AVENUE, N.W. WASHINGTON, DC 20004-2401			EXAMINER SINGH, RACHNA	
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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	Application No. 10/822,310	Applicant(s) LAVOIE ET AL.	
	Examiner Rachna Singh	Art Unit 2176	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 15 February 2007.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-41 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-41 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 12 April 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### DETAILED ACTION

1. This action is responsive to communications: Amendments and Remarks filed on 02/15/07.
2. Claims 1-41 are pending. Claims 1, 28, and 29 are independent claims. Claims 30-41 are newly added claims.

### ***Priority***

3. Applicant's claim for the benefit of a prior-filed application under 35 U.S.C. 119(e) or under 35 U.S.C. 120, 121, or 365(c) is acknowledged. Applicant has not complied with one or more conditions for receiving the benefit of an earlier filing date under 35 U.S.C. 120 as follows:

Regarding Provisional Application 60/461,386, the later-filed application must be an application for a patent for an invention which is also disclosed in the prior application (the parent or original nonprovisional application or provisional application). The disclosure of the invention in the parent application and in the later-filed application must be sufficient to comply with the requirements of the first paragraph of 35 U.S.C. 112. See *Transco Products, Inc. v. Performance Contracting, Inc.*, 38 F.3d 551, 32 USPQ2d 1077 (Fed. Cir. 1994).

The disclosure of the prior-filed provisional application, Application No. 60/461,386, fails to provide adequate support or enablement in the manner provided by the first paragraph of 35 U.S.C. 112 for one or more claims of this application. Provisional Application 60/461,386 is drawn to a Powered rotary board turner which is not related to a financial document change identifier.

Furthermore, the application Applicant's claim for the benefit of a prior-filed application under 35 U.S.C. 120, 121, or 365(c) is acknowledged. Applicant has not complied with one or more conditions for receiving the benefit of an earlier filing date under 35 U.S.C. 120 as follows: An application for patent for an invention disclosed in the manner provided by the first paragraph of **section 112** of this title in an application previously filed in the United States, or as provided by **section 363** of this title, which is filed by an inventor or inventors named in the previously filed application shall have the same effect, as to such invention, as though filed on the date of the prior application. The inventor(s) named in Provisional Application 60/461,386 do not match any of the names of the inventor(s) of the current application.

Applicant's claims for the benefit of Provisional Application 60/462,065 is acknowledged.

### ***Claim Rejections - 35 USC § 112***

4. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the

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art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

5. Claims 1-41 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

Independent claims 1, 28, and 29 recite ***the numerical tabular delta data is numerically different in amount from the related first-document tabular numerical data and second-document tabular numerical data***; however, there does not appear to be support for this limitation in the Specification. Furthermore, tabular numerical delta data can merely be indicative of a difference between the first document and the second document and not necessarily a percentage change. Thus there does not appear to be any requirement that the delta data be different than the numerical data in the first or second document if all that is required of the delta data is that it be "indicative of a difference". Correction and/or clarification is requested.

Claims 2-27 and 30-41 are rejected for incorporating the deficiencies of their base claim from which they depend.

### ***Claim Rejections - 35 USC § 103***

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

7. Claim 1, 9-11, 16, 18-20, 25, and 28-41 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gay, US 6,792,145 B2, 09/14/04 (filed on 06/08/01) in view of Zilberman, US 2006/0167772 A1, 07/27/06 (filed 10/30/02, provisional application filed on 10/30/02).

Regarding claim 1, Gay teaches a pattern recognition process for text document interpretation. Gay teaches extracting textual and tabular data from financial documents. A comparison is made between the character strings of the financial document and the character strings provided in the previous financial documents which meets the preamble, ***an apparatus for generating a comparison of related subject matter found in two different financial documents***. See abstract.

Gay teaches his invention is directed to SEC documents such as 10-Q or 10-K financial documents which contain character strings and numerical data in tabular form. See column 1, lines 35-45 and column 2, lines 15-52. Comparisons are made between a raw SEC document containing tabular information that has been downloaded from a website and a new SEC financial document which also contains tabular information which meets the limitations, ***a first document comprising first-document tabular numerical data; a second document comprising second-document tabular***

**numerical data, said second document being a variation of said first document.**

See column 3, lines 35-67 and column 4, lines 1-38.

Gay teaches receiving the first and second document via a website which meets the limitation, **a processor for receiving said first-document and said second-document**. See column 3, lines 35-67 and column 4, lines 1-38. Gay further teaches extracting a first valid character string from a previously existing financial document and comparing each string in a first/old document to the character strings in the new/second financial document wherein each character string represents a numerical value that is stored in a database which meets the limitation, **a comparator comprised in said processor for comparing said first-document tabular numerical data to related second-document tabular numerical data**. See figure 1, column 2, lines 15-30, column 4, lines 14-67, and column 5, lines 1-40.

Gay teaches the comparison of the two documents results in the creation of a second matrix of character strings representing numerical data provided on a second plane in the database including those textual strings that are not included in the first matrix of textual strings (from the first document). See columns 5, lines 40-67 and column 6, lines 1-54.

EXAMINER NOTE: Determining which textual strings are new or not included in the first matrix of textual strings representing the first document and forming a second matrix is generating tabular delta data indicative of a "change" because it is identifying a new textual string in the second financial document which is considered a "change".

Gay does not teach ***generate numerical tabular delta data indicative of at least one of a difference and a percentage change between the related first-document tabular numerical data and said second-document tabular numerical data; the numerical tabular delta data is numerically different in amount from the related first-document tabular numerical data and second-document tabular numerical data; and transmitting the numerical tabular data from the comparator.***

However, Zilberman discloses interpreting financial documents in which financial inputs are evaluated against a predetermined value and the results of the evaluation including changes and percentage changes are produced which meets the limitation, ***the numerical tabular delta data is numerically different in amount from the related first-document tabular numerical data and second-document tabular numerical data; and transmitting the numerical tabular data from the comparator.*** For example, a variable may represent a difference in percent of total assets or percent of sales between one entity and its competitor. See page 4, paragraph [0059] and page 6, paragraph [0068].

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Zilberman's depicting the change between financial information in the system of Gay because it provides for comparisons of financial information with previous periods, industry averages, etc in order to provide useful information and financial advice to a company or user to aid in their financial objectives. See page 1, paragraphs [0001]-[0005].



Regarding claim 28, claim 28 is drawn to a system for the apparatus claimed in claim 1, and therefore is rejected under the same rationale used in claim 1 above.

Regarding claim 29, claim 29 is drawn to a method for the apparatus claimed in claim 1, and therefore is rejected under the same rationale used in claim 1 above.

Regarding claim 9, Gay teaches comparing character strings associated with the numerical data provided in the previous financial document with the character strings in the second financial document which meets the limitation ***compare sections of the first document tabular numerical data with related subject matter sections of said second document tabular numerical data based on tables***. See figure 1, column 4, lines 14-67 and column 5, lines 1-40.

Regarding claim 10, Gay teaches the first and second document tabular data contains text data and the comparator generates the text/tabular delta data. See figure 1, column 2, lines 24-52, column 3, lines 35-66 and column 4.

Regarding claim 11, Gay teaches the delta data can include data that has been added in the new financial document. See column 2, lines 1-15 and column 9, lines 59-62.

Regarding claim 16, Gay teaches comparing character strings associated with numerical data provided in the previous financial document with the character strings in the second financial document which meets the limitation ***compare sections of the first document tabular text and tabular numerical data with related subject matter sections of said second document tabular text and tabular numerical data based on at least one of tables, graphs, columns, rows, time units, idea units and line items***. See figure 1, column 4, lines 14-67 and column 5, lines 1-40. Examiner Note: Line items are being interpreted as the character strings.

Regarding claim 18, Gay teaches the first and second documents comprise data in a text format. See columns 1-2. Gay further teaches these documents include one or more lines of textual material and one or more columns of data associated with each line of textual material. See column 1, lines 35-46. The textual strings are separated into a separate column from the columns of numerical data. Before comparing the first document to the second document, a first valid character string is extracted from the old/original document. See column 4, lines 14-38.

Regarding claim 19, Gay further teaches extracting a first valid character string from a previously existing financial document and comparing each string in a first/old document to the character strings in the new/second financial document. See figure 1, column 4, lines 14-67 and column 5, lines 1-40. Gay teaches the comparison of the two documents results in the creation of a second matrix of character strings provided on a

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second plane in the database including those textual strings that are not included in the first matrix of textual strings (from the first document) which meets the limitation ***generate text delta data***. See columns 5, lines 40-67 and column 6, lines 1-54.

Regarding claim 20, Gay teaches the delta data can include data that has been added in the new financial document. See column 2, lines 1-15 and column 9, lines 59-62.

Regarding claim 25, Gay teaches comparing character strings provided in the previous financial document with the character strings in the second financial document which meets the limitation ***compare sections of the first document text/tabular data with related subject matter sections of said second document text/tabular data based on at least one of tables, graphs, columns, rows, time units, idea units and line items***. See figure 1, column 4, lines 14-67 and column 5, lines 1-40. Examiner Note: Line items are being interpreted as the character strings.

Regarding claim 30, Gay does not teach comparing sections of the first and second document based on graphs; however, Zilberman discloses interpreting financial documents in which financial inputs are evaluated against a predetermined value and the results of the evaluation including changes and percentage changes in the form are produced. See page 4, paragraph [0059] and page 6, paragraph [0068]. Zilberman's system includes graphics capabilities so that in addition to outputting text, graphs and

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charts can be output to illustrate the evaluated relationships such as the change and percentage change between previous periods. See page 6, paragraph [0068].

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Zilberman's insertion of a graphic depicting the change between financial information in the system of Gay because it would visually display comparisons of information with previous periods, industry averages, etc. See page 6, paragraph [0068].

Regarding claims 31 and 32, Gay teaches comparing items from the first document to those of second document based on columns and rows where a column includes data and the rows contain a data item. See columns 2-3.

Regarding claim 33, Gay teaches comparing items from a first document to a second document which can include time units. See columns 2-3.

Regarding claim 34, Gay teaches comparing items from a first document to a second document which can include idea units. See columns 2-3.

Regarding claim 35, Gay teaches comparing character strings in the first document with a second document. Line items are interpreted as character strings. See figure 1, column 4, lines 14-67 and column 5, lines 1-40.

Regarding claim 36, Gay does not teach the change is a mathematical difference amount; however, Zilberman discloses interpreting financial documents in which financial inputs are evaluated against a predetermined value and the results of the evaluation including changes and percentage changes in the form are produced. See page 4, paragraph [0059] and page 6, paragraph [0068]. Zilberman's system includes graphics capabilities so that in addition to outputting text, graphs and charts can be output to illustrate the evaluated relationships such as the change and percentage change between previous periods. See page 6, paragraph [0068].

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Zilberman's depicting the change between financial information in the system of Gay because it provides for comparisons of financial information with previous periods, industry averages, etc in order to provide useful information and financial advice to a company or user to aid in their financial objectives. See page 1, paragraphs [0001]-[0005].

Regarding claim 37, Gay does not teach the change is a mathematical difference amount comprises a subtraction amount; however, Zilberman discloses interpreting financial documents in which financial inputs are evaluated against a predetermined value and the results of the evaluation including changes and percentage changes in the form are produced. See page 4, paragraph [0059] and page 6, paragraph [0068]. Zilberman's system includes graphics capabilities so that in addition to outputting text, graphs and charts can be output to illustrate the evaluated relationships such as the

change and percentage change between previous periods. See page 6, paragraph [0068].

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Zilberman's depicting the change between financial information in the system of Gay because it provides for comparisons of financial information with previous periods, industry averages, etc in order to provide useful information and financial advice to a company or user to aid in their financial objectives. See page 1, paragraphs [0001]-[0005].

Regarding claim 38, Gay does not teach the change is a percentage change; however, Zilberman discloses interpreting financial documents in which financial inputs are evaluated against a predetermined value and the results of the evaluation including changes and percentage changes in the form are produced. See page 4, paragraph [0059] and page 6, paragraph [0068]. Zilberman's system includes graphics capabilities so that in addition to outputting text, graphs and charts can be output to illustrate the evaluated relationships such as the change and percentage change between previous periods. See page 6, paragraph [0068].

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Zilberman's depicting the change between financial information in the system of Gay because it provides for comparisons of financial information with previous periods, industry averages, etc in order to provide useful information and financial advice to a company or user to aid in their financial objectives. See page 1, paragraphs [0001]-[0005].

Regarding claim 39, Gay teaches the numerical data is financial metric data.

See columns 1-2 and abstract.

Regarding claim 40, Gay teaches comparing two document which could be of the same financial institution. See abstract and columns 1-2.

Regarding claim 41, Gay teaches comparing two document which could be of the same financial institution or security. See abstract and columns 1-2.

8. Claims 2-8, 12-15, 17, 21-24 and 26-27, are rejected under 35 U.S.C. 103(a) as being unpatentable over Gay, US 6,792,145 B2, 09/14/04 (filed on 06/08/01) in view of Zilberman, US 2006/0167772 A1, 07/27/06 (filed 10/30/02, provisional application filed on 10/30/02), as applied to independent claims 1, 28, and 29 above, and further in view of Horton, US 2004/0230892 A1, 11/18/04 (filed 03/17/04, provisional application filed on 03/17/03).

Regarding claim 2, although Gay teaches storing the tabular data and tabular delta data in separate planes in a database, Gay does not disclose a user interface in communication with a processor for delivering at least one of said tabular data and tabular delta data. However, Horton teaches a system and method for document

project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously which meets the limitation, ***a user interface in communication with the transmitter of said processor for displaying numerical tabular delta data***. See page 1, paragraphs [0012]-[0019] and figure 1.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

Regarding claim 3, Gay does not teach the numerical tabular delta data is delivered on a user interface as visually distinct from the first-document tabular numerical data and said second-document numerical tabular data. However, Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously wherein the differences are highlighted in order to make it easy to find the differences which meets the limitation, ***wherein said tabular delta data is delivered on a user interface as visually distinct from the tabular data***. See page 1, paragraphs [0012]-[0019] and figure 1. Highlighted the differences by italicizing



certain words is providing a means to visually distinct the delta data from the tabular data.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

Regarding claim 4, Gay teaches the numerical tabular delta data indicates a difference between the first and second document tabular data. Gay does not teach it also displays a percentage change between the first document tabular numerical data and the second-document tabular numerical data, and wherein said visually distinct numerical tabular delta data for the difference change between the first document tabular numerical data and the second document tabular numerical data is represented in a first manner and the percentage change in a second manner.

However, Zilberman discloses interpreting financial documents in which financial inputs are evaluated against a predetermined value and the results of the evaluation including changes and percentage changes are produced which meets the limitation, ***displaying a percentage change***. For example, a variable may represent a difference

in percent of total assets or percent of sales between one entity and its competitor. See page 4, paragraph [0059] and page 6, paragraph [0068]. It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Zilberman's depicting the change between financial information in the system of Gay because it provides for comparisons of financial information with previous periods, industry averages, etc in order to provide useful information and financial advice to a company or user to aid in their financial objectives. See page 1, paragraphs [0001]-[0005].

Furthermore, Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously wherein the differences are highlighted in order to make it easy to find the differences which meets the limitation, ***wherein said tabular delta data is delivered on a user interface as visually distinct from the tabular data in a first manner.*** See page 1, paragraphs [0012]-[0019] and figure 1. Highlighted the differences by italicizing certain words is providing a means to visually distinct the delta data from the tabular data.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a

simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

Regarding claim 5, Gay does not teach displaying a plurality of visually distinct tabular delta data; however, Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously wherein the differences are highlighted in order to make it easy to find the differences which meets the limitation, **a plurality of visually distinct numerical tabular delta data**. page 1, paragraphs [0012]-[0019] and figure 1. Figure 1 displays multiple drafts indicating a plurality of differences.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

Regarding claim 6, Gay does not teach that the tabular delta data delivered on the user interface is chronicled by at least one of numeric, alphabetic, alphanumeric,

and consecutive sequence units. However, Horton teaches delivering tabular delta data chronicled by a draft number relating to the version of the document. See figure 1.

Regarding claim 7, Gay does not teach inserting a graphic into the tabular delta data indicative of change magnitude for each change between related subject matter of the first tabular data and the second document tabular data; however, Zilberman teaches an electronic interpretation of financials in which financial inputs related to an entity are evaluated against predetermined values. See abstract, page 1, paragraphs [0006]-[0011]. Zilberman's system includes graphics capabilities so that in addition to outputting text, graphs and charts can be output to illustrate the evaluated relationships such as the change and percentage change between previous periods which meets the limitation ***inserting a graphic into the tabular delta data indicative of change magnitude for each change between related subject matter of the first tabular data and the second document tabular data.*** See page 6, paragraph [0068].

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Zilberman's insertion of a graphic depicting the change between financial information in the system of Gay because it would visually display comparisons of information with previous periods, industry averages, etc. See page 6, paragraph [0068].

Regarding claim 8, Gay does not teach the graphic is comprised of at least one of graphs, charts, statistics, and images. Zilberman's system includes graphics

capabilities so that in addition to outputting text, graphs and charts can be output to illustrate the evaluated relationships. See page 6, paragraph [0068]. It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Zilberman's insertion of a graphic depicting the change between financial information in the system of Gay because it would visually display comparisons of information with previous periods, industry averages, etc. See page 6, paragraph [0068].

Regarding claim 12, Gay does not teach a user interface for delivering at least one of said additions, deletions, substitutions, and text/tabular data; however, Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously wherein any additions, deletions, and substitutions are highlighted which meets the limitation, ***a user interface for delivering at least one of said tabular data and tabular delta data***. See page 1, paragraphs [0012]-[0019], page 3, paragraph [0069], and figure 1.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a

simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

Regarding claim 13, Gay does not teach the additions, deletions, and substitutions data are visually distinct from the tabular data; however, Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously wherein any additions, deletions, and substitutions are highlighted which meets the limitation, ***wherein said additions, deletions, and substitutions data is delivered on said user interface as visually distinct from said first document tabular text and tabular numerical data and said second document tabular text and tabular numerical data***. See page 1, paragraphs [0012]-[0019], page 3, paragraph [0069], and figure 1.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

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EXAMINER NOTE: Claim 12, from which claim 13 depends, recites delivering ***at least one of said additions data, deletions data, substitutions data, and text/tabular data***. Thus although claim 13 recites displaying the additions, deletions, and substitutions data as visually distinct from the tabular data, claim 12 only requires that one of these data be displayed; therefore, Examiner is relying on the fact that Horton displays edited data in a different manner such as by italics.

Regarding claim 14, Gay does not teach the additions, deletions, and substitutions data are displayed in a third, fourth, and fifth manner respectively; however, Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously wherein any additions, deletions, and substitutions are highlighted which meets the limitation, ***wherein said visually distinct additions data is represented in a third manner***. See page 1, paragraphs [0012]-[0019], page 3, paragraph [0069], and figure 1.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a

simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

EXAMINER NOTE: Claim 12, from which claim 14 depends, recites delivering ***at least one of said additions data, deletions data, substitutions data, and text/tabular data***. Thus although claim 14 recites displaying the additions, deletions, and substitutions data in a variety of manners, claim 12 only requires that one of these data be displayed, thus Examiner is relying on the fact that Horton displays edited data in a different manner such as by italics.

Regarding claim 15, Gay does not teach that one of the additions, substitutions, or deletions data delivered on the user interface is chronicled by at least one of numeric, alphabetic, alphanumeric, and consecutive sequence units. However, Horton teaches delivering tabular delta data, indicative of changes made to the document, are chronicled by a draft number relating to the version of the document. See figure 1.

EXAMINER NOTE: Claim 11, from which claim 15 depends, recites delivering ***at least one of said additions data, deletions data, substitutions data, and text/tabular data***. Thus although claim 15 recites displaying the additions, deletions, and substitutions data in a variety of manners, claim 11 only requires that one of these data be displayed.

Regarding claim 17, Gay does not teach integrated at least two of the tabular delta data, text/tabular delta data, tabular data, and text/tabular data for delivery on a



user interface. Horton teaches integrating tabular delta data and tabular data for delivery on a user interface as depicted in claim 1. Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously. See page 1, paragraphs [0012]-[0019] and figure 1.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

Regarding claim 21, Gay does not teach a user interface for delivering at least one of said additions, deletions, substitutions, and text/tabular data; however, Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously wherein any additions, deletions, and substitutions are highlighted which meets the limitation, ***a user interface for delivering at least one of said tabular data and tabular delta data***. See page 1, paragraphs [0012]-[0019], page 3, paragraph [0069], and figure 1.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

Regarding claim 22, Gay does not teach the additions, deletions, and substitutions data are visually distinct from the tabular data; however, Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously wherein any additions, deletions, and substitutions are highlighted which meets the limitation, ***wherein said additions, deletions, and substitutions data is delivered on said user interface as visually distinct from first and second document text data.*** See page 1, paragraphs [0012]-[0019], page 3, paragraph [0069], and figure 1.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document.

This was desirable at the time of the invention in order to provide a user with a simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

EXAMINER NOTE: Claim 21, from which claim 22 depends, recites delivering *at least one of said additions data, deletions data, substitutions data, and text/tabular data*. Thus although claim 22 recites displaying the additions, deletions, and substitutions data as visually distinct from the tabular data, claim 21 only requires that one of these data be displayed; therefore, Examiner is relying on the fact that Horton displays edited data in a different manner such as by italics.

Regarding claim 23, Gay does not teach the additions, deletions, and substitutions data are displayed in a third, fourth, and fifth manner respectively; however, Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously wherein any additions, deletions, and substitutions are highlighted which meets the limitation, *wherein said visually distinct additions data is represented in a third manner*. See page 1, paragraphs [0012]-[0019], page 3, paragraph [0069], and figure 1.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to

simultaneously view the differences between various versions of the same document.

This was desirable at the time of the invention in order to provide a user with a simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

EXAMINER NOTE: Claim 21, from which claim 23 depends, recites delivering ***at least one of said additions data, deletions data, substitutions data, and text/tabular data***. Thus although claim 23 recites displaying the additions, deletions, and substitutions data in a variety of manners, claim 21 only requires that one of these data be displayed, thus Examiner is relying on the fact that Horton displays edited data in a different manner such as by italics.

Regarding claim 24, Gay does not teach that one of the additions, substitutions, or deletions data delivered on the user interface is chronicled by at least one of numeric, alphabetic, alphanumeric, and consecutive sequence units. However, Horton teaches delivering tabular delta data, indicative of changes made to the document, are chronicled by a draft number relating to the version of the document. See figure 1.

EXAMINER NOTE: Claim 20, from which claim 24 depends, recites delivering ***at least one of said additions data, deletions data, substitutions data, and text/tabular data***. Thus although claim 24 recites displaying the additions, deletions, and substitutions data in a variety of manners, claim 20 only requires that one of these data be displayed.

Regarding claim 26, Gay does not teach integrated at least two of the tabular delta data, text/tabular delta data, tabular data, and text/tabular data for delivery on a user interface. Horton teaches integrating tabular delta data and tabular data for delivery on a user interface as depicted in claim 1. Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of proposed revisions are displayed simultaneously. See page 1, paragraphs [0012]-[0019] and figure 1.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

Regarding claim 27, Gay does not teach integrated at least one of text/tabular delta data and text/tabular data for delivery on a user interface. Horton teaches integrating tabular delta data and tabular data for delivery on a user interface as depicted in claim 1. Horton teaches a system and method for document project management in which the original portion of a document and each of a plurality of

proposed revisions are displayed simultaneously. See page 1, paragraphs [0012]-[0019] and figure 1.

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Horton's display of a portion of the original document and changes to that portion in a graphical user interface in Gay's system for storing the differences between financial documents in a database because it enables a user to simultaneously view the differences between various versions of the same document. This was desirable at the time of the invention in order to provide a user with a simultaneous, side-by-side comparison of the differences between documents. See page 1, paragraphs [0003]-[0015].

### ***Response to Arguments***

9. Applicant's arguments filed 02/15/07 have been fully considered but they are not persuasive.

Pursuant to Applicant's amendments, the rejections under 35 U.S.C. 101 have been withdrawn. Newly presented claims 30-41 have been rejected above.

On pages 13-14, Applicant argues the references do not teach ***the numerical tabular delta data is numerically different in amount from the related first-document tabular numerical data and second-document tabular numerical data***; however, there does not appear to be support for this limitation in the Specification. Furthermore, tabular numerical delta data can merely be indicative of a difference between the first document and the second document and not necessarily a percentage

change. Thus there does not appear to be any requirement that the delta data be different than the numerical data in the first or second document if all that is required of the delta data is that it be "indicative of a difference". Correction and/or clarification is requested.

Applicant argues Gay teaches comparing a string from the first document to that of a second document and does not teach comparing numerical data. Examiner respectfully disagrees because Gay teaches the string is associated with and represents a numerical value. Gay further teaches extracting a first valid character string from a previously existing financial document and comparing each string in a first/old document to the character strings in the new/second financial document wherein each character string represents a numerical value that is stored in a database which meets the limitation, ***a comparator comprised in said processor for comparing said first-document tabular numerical data to related second-document tabular numerical data***. See figure 1, column 2, lines 15-30, column 4, lines 14-67, and column 5, lines 1-40. In other words, Gay teaches comparing numerical data, but does not necessarily teach ***generating numerical tabular delta data indicative of at least one of a difference and a percentage change between the related first-document tabular numerical data and said second-document tabular numerical data; the numerical tabular delta data is numerically different in amount from the related first-document tabular numerical data and second-document tabular numerical data; and transmitting the numerical tabular data from the comparator***. However, Zilberman discloses interpreting financial documents

in which financial inputs are evaluated against a predetermined value and the results of the evaluation including changes and percentage changes are produced which meets the limitation, ***the numerical tabular delta data is numerically different in amount from the related first-document tabular numerical data and second-document tabular numerical data; and transmitting the numerical tabular data from the comparator.*** For example, a variable may represent a difference in percent of total assets or percent of sales between one entity and its competitor. See page 4, paragraph [0059] and page 6, paragraph [0068].

It would have been obvious to a person of ordinary skill in the art at the time of the invention to incorporate Zilberman's depicting the change between financial information in the system of Gay because it provides for comparisons of financial information with previous periods, industry averages, etc in order to provide useful information and financial advice to a company or user to aid in their financial objectives. See page 1, paragraphs [0001]-[0005].

In view of the comments above, the rejections are maintained.

### ***Conclusion***

10. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).



A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

11. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Rachna Singh whose telephone number is 571-272-4099. The examiner can normally be reached on M-F (8:30AM-6:00PM).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Heather Herndon can be reached on 571-272-4136. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a

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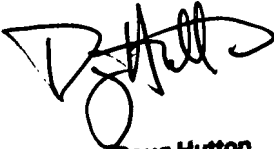
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USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

RS

05/08/07



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